



08/15/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF EXPRESS MAILING

This transmittal and the documents and/or fees itemized hereon and attached hereto have been deposited as "Express Mail Post Office to Addressee" in accordance with 37 C.F.R. § 1.110 with Express Mail Mailing Label Number: EL831641805US

Attorney Docket No.: 60021.375602

First Named Inventor:

SLOAN, Ronald E.



UTILITY PATENT APPLICATION TRANSMITTAL (37 CFR. § 1.53(b))
(Continuation application)

Commissioner for Patents
Box Patent Application
Washington, DC 20231

☐ Duplicate for
fee processing

Sir: This is a request for filing a patent application under 37 CFR. § 1.53(b) in the name of inventors:
Ronald E. Sloan and Stephen B. Slutsky

For: **FINANCIAL PORTFOLIO RISK MANAGEMENT**

This application is a ☒ Continuation ☐ Divisional ☐ Continuation-in-part

of prior Application No.: 09/705,287 filed on November 1, 2000; 09/431,390 filed on November 1, 1999;
and 09/580,352 filed on May 25, 2000, as amended by the Preliminary Amendment dated July 20, 2001,
from which priority under 35 U.S.C. §120 is claimed.

Application Elements:

☒ 69 Pages of Specification, Claims and Abstract

☒ 16 Sheets of **formal/informal** Drawings

☒ 02 Declaration

☐ Newly executed (original or copy)

☒ Copy from a prior application (37 CFR 1.63(d) for a continuation or divisional).
The entire disclosure of the prior application from which a copy of the declaration is herein supplied is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

☐ Deletion of inventors Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

Accompanying Application Parts:

☐ Assignment and Assignment Recordation Cover Sheet (recording fee of \$40.00 enclosed)

☐ Power of Attorney

- ☐ 37 CFR 3.73 Statement by Assignee
- ☐ Information Disclosure Statement with Form PTO-1449 ☐ Copies of IDS Citations
- ☐ Preliminary Amendment (*New claims numbered after highest original claim in prior application.*)
- ☒ Return Receipt Postcard
- ☐ Other:

Claim For Foreign Priority

- ☐ Priority of _____ Application No. _____ filed on _____ is claimed under 35 U.S.C. § 119.
- ☐ The certified copy has been filed in prior application U.S. Application No. _____
- ☐ The certified copy will follow.

Extension of Time for Prior Pending Application

- ☒ A Petition for Extension of Time for the Response to Notice to File Missing Parts is being concurrently filed in the prior pending application. A copy of the Petition for Extension of Time is attached.

Amendments

- ☒ Amend the specification by inserting before the first line the sentence: "This is a
- ☒ Continuation ☐ Continuation-in-part ☐ Divisional application of copending prior
- ☒ Application No. 09/705,287 filed on November 1, 2000,
- ☐ International Application _____ filed on _____ which designated the United States, the disclosure of which is incorporated herein by reference."

- ☐ Cancel in this application original claims _____ of the prior application before calculating the filing fee. (*At least one original independent claim must be retained.*)

Fee Calculation (37 CFR § 1.16)

	(Col. 1) NO. FILED	(Col. 2) NO. EXTRA	SMALL ENTITY RATE FEE	OR	LARGE ENTITY RATE FEE
BASIC FEE			\$345 \$	OR	\$710 \$ 710.00
TOTAL CLAIMS	<u>42</u> -20 = <u>22</u>		x09 = \$	OR	x18 = \$ 396.00
INDEP CLAIMS	<u>03</u> -03 = <u>00</u>		x40 = \$	OR	x80 = \$
[] Multiple Dependent Claim Presented			\$130 = \$	OR	\$260 = \$
* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.			Total \$	OR	Total <u>\$1106.00</u>

- ☐ Check No. _____ in the amount of \$ _____ is enclosed.

☒ The Commissioner is authorized to charge any fees which may be required, or to credit any overpayment, to Deposit Account No. 50-0797 (Order No. 60021.375602).

General Authorization for Petition for Extension of Time (37 CFR §1.136)

☒ Applicants hereby make and generally authorize any Petitions for Extensions of Time as may be needed for any subsequent filings. The Commissioner is also authorized to charge any extension fees under 37 CFR §1.17 as may be needed to Deposit Account No. 50-0797 (Order No. 60021.375602).

☒ Please send correspondence to the following address:

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Date: August 15, 2001


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